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| **STAGE 1** |
| Preparation and Briefing |

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| **Job no** |  |
|       |
| **Job Title** |  |
|       |
| **Team members** |  |
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**Instruction for use**

This checklist is an rtf (rich text format) form, optimised for editing in Microsoft Office Word. Parts of it have been temporarily locked to preserve the default wording found in the *RIBA Job Book* (Tenth Edition). The parts that are not locked are the check boxes, the ‘notes’ fields and the ‘completed on’ fields. In other words, it is possible to add your own text and subsequently edit these fields.

It is recognised that the default wording, which is currently locked, may need to be added to and edited. To unlock it, please follow the instructions below:

**Microsoft Office Word 2003**

* Select *View>Toolbars>Forms* from the main menu. The *Forms* toolbar will appear.
* Click the *Protect Form* button  to unlock the checklist. To lock it again, click it again.
* If needed, click the *Form Field Shading* button  to hide the grey shading that appears around the editable fields. To show it again, click it again.

**Microsoft Office Word 2007**

* Click the Office button  to bring up a menu. Select *Word Options* from the bottom of the menu.
* The *Word Options* dialog window will open. Select the *Show Developer Tab* option. At the bottom of the window, click *OK*.
* A new *Show Developer* tab appears at the top of your screen. Click on it.
* In the *Protect* group, select *Protect document*. A window will appear on the right-hand side of your screen.
* In this window, select *Stop protection* from the bottom of the list.

**Microsoft Office Word 2010**

* Click the *File* tab to bring up a menu. Select *Word Options* from the bottom of the menu.
* The *Word Options* dialog window will open. Select the *Customize Ribbon* option.
* Select *Developer* box in the right hand side menu and click OK on the bottom of the screen.
* A new *Show Developer* tab appears at the top of your screen. Click on it.
* In the *Protect* group, select *Restrict Editing*. A window will appear on the right-hand side of your screen.
* In this window, select *Stop protection* from the bottom of the list.

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|  | Activities |  |  |
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| 1. | Open project files and allocate a job number to the project in accordance with your office procedures.*Enter notes here* | [ ]  Completed on |  |
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| 2. | Agree the schedule of services, design responsibility matrix (where there will be other consultants) and information exchanges.Check the scope of professional services agreed with other consultants as they are appointed to ensure there are no gaps in the service provided to the client.*Enter notes here* | [ ]  Completed on |  |
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| 3. | Prepare a high-level project programme.Refer to Stage 1: Project programming.Enter notes here | [ ]  Completed on |  |
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| 4. | Obtain from the client the project requirements, budget and timetable and any other project data being supplied by the client. Check these carefully, question incompatibilities and agree priorities.*Alert the client straight away to key issues that may be missing from these requirements and will need to be addressed in the project brief, such as strategy for accessibility, security policy and environmental policy.**Enter notes here* |  |
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| 5. | Explain to the client the options for procurement and note any matters which could affect the particular choice.Refer to *Which Contract? 6th Edition* (RIBA Publishing, 2019) for advice on this.*Enter notes here* | [ ]  Completed on |  |
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| 6. | Develop the town planning strategy.Check the planning situation with the local planning authority. For example:• Whether there is any existing relevant permission, approval or consent which is still current.• Whether the proposed work requires planning permission and, if so, which applications would be relevant.• Whether there are special circumstances that need to be considered (e.g. listed building, conservation area, etc.).• Whether an environmental impact assessment will be expected.• Whether there is a known existence of hazardous substances or conditions due to earlier uses, likelihood of archaeological remains, etc.• Whether there are plans for compulsory purchase or any land take proposals (e.g. for road improvements) which could affect use of the site.Refer to Stage 3: Planning matters for the smaller practice.Enter notes here | [ ]  Completed on |  |
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| 7. | Undertake or procure a measured survey as appropriate. If the client is procuring the survey, ascertain the scope of it to make sure it encompasses everything that will be needed.*The survey should only be procured and undertaken once a built project has been determined to be necessary, or likely to be necessary.*Refer to Stage 1: Surveys. It is also good practice to ascertain ground conditions early as this can substantially alter the design and would be problematic after planning permission had been granted. An initial idea of ground conditions can sometimes be found by consulting the local Building Control department.If you engage subconsultants directly, check their competence and resources, particularly with regard to the CDM Regulations. Consider the use of RIBA Subconsultant Professional Services Contract 2018.Enter notes here | [ ]  Completed on |  |
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| 8. | Obtain information on the existing mains services supplies.Enter notes here | [ ]  Completed on |  |
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| 9. | Obtain information on the existing traffic/highways/access conditions.Enter notes here | [ ]  Completed on |  |
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| 10. | Check whether there are restrictions on site development potential due to mains or cables either below ground or overhead, and whether or not the site is subject to easements or wayleaves.Check the position and capacity of mains drainage and services supplies from statutory undertakers. Alert the client at an early stage if it appears that there may be issues concerning the development that may require approval/agreement of adjoining owners, e.g. whether rights of light, boundaries, rights of way, such as for fire escapes or access, will be affected.*These will normally be dealt with by the client’s solicitors, but they may take a considerable time to negotiate.*Enter notes here | [ ]  Completed on |  |
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| 11. | Check whether notices under the Party Wall etc Act 1996 may be needed.Refer to Stage 4: Party wall procedures.Enter notes here | [ ]  Completed on |  |
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| 12. | Check whether third parties, e.g. landlord, estate surveyor, lessees, adjoining owners,etc, will need to be consulted. Initiate preliminary consultations (if this is part of youragreed duties) when authorised by the client.Enter notes here | [ ]  Completed on |  |
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| 13. | Review the site information and prepare feasibility studies.Enter notes here | [ ]  Completed on |  |
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| 14. | Develop the client’s requirements into an initial project brief, or assist the client in developing an initial project brief.Preparation of the initial project brief is an important task and the time required to prepare it will depend on the complexity of the project. See notes on brief preparation below in this stage.Enter notes here | [ ]  Completed on |  |
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| 15. | Develop the project outcomes. Refer to the RIBA Plan of Work 2020 Overview.Enter notes here | [ ]  Completed on |  |
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| 16. | Advise the client on the need to appoint a cost consultant and other consultants or specialists. Confirm who will make the appointments, the basis of agreements and the scope of such services. List the other consultants in the appointment agreement and any project quality plan.Be clear about the professional services needed. If other consultants and specialists are needed, be prepared to explain their roles and responsibilities. The guidance to the RIBA Plan of Work 2020 may be a useful tool at this stage for mapping out the tasks that must be performed and identifying who will perform them, although it should be noted that it may not list all appointments that are needed.Try to secure the client’s consent that all professional appointments are on mutually interlocking agreements with similar, if not identical, contractual conditions.Enter notes here | [ ]  Completed on |  |
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| 17. | Advise the client on statutory and other legal obligations, including:• The need for various approvals under national legislation concerned with planning and building, and the additional requirements of any local legislation or legislation for the particular building type which might apply.• The fees payable to the relevant authority at the time of these applications.• The obligations of a client under the CDM Regulations, and other health and safety legislation, as appropriate, including the need to appoint a principal designer, where the law requires this (if not already done).See pp. 24 and 75 for advice on the CDM Regulations.• The duties of the client as building owner under the Party Wall etc Act 1996, including the possible need to appoint a party wall surveyor and the rights of adjoining owners to appoint their own surveyors.• Possible duties of the client under Part II A of the Environmental Protection Act 1990, if the site may contain contaminated land.Enter notes here | [ ]  Completed on |  |
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| 18. | Establish procedures for the client to ‘sign off’ briefs, designs, etc at relevant stages. Be strict about keeping to deadlines for reports and other submissions to the client. Set firm dates for approvals, instructions to proceed and the supply of information.Enter notes here | [ ]  Completed on |  |

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| 19. | Where appropriate, assemble the project team and define the members’ roles and responsibilities and the information exchanges.For Stage 2 to commence in earnest, it is essential that the team is properly assembled.The RIBA Plan of Work 2020 advocates the definition and establishment of the project team during Stage 1. This ensures that the roles and responsibilities of each organisation are clear before commencement of Stage 2: concept design.Enter notes here | [ ]  Completed on |  |

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| 20. | Where appropriate, confirm the design team composition and identify a project lead and lead designer (usually the architect).Enter notes here | [ ]  Completed on |  |

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| 21. | For BIM -enabled projects, where appropriate appoint an information manager, whose role should include the following:• Explaining to the client the benefits and implications of implementing BIM .• Advising on the extent to which BIM should be used on the project.• Determining the roles and responsibilities of each member of the project team with regard to the BIM process and the model.• Leading other consultants in preparing the BIM project plan.• Defining and communicating the BIM inputs and outputs.In conjunction with the other consultants, reviewing and signing off the model at agreed stages.• Issuing data from the model at the appropriate times.• Liaising with the contractor, subcontractors and suppliers to integrate their design data into the model.• Arranging for the model to be passed on to the client’s facilities manager at practical completion (unless the architect is to maintain a role in this regard).Enter notes here | [ ]  Completed on |  |

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| 22. | If appointed as information manager:• Prepare BIM protocols and agree them with the other members of the design team.• Define the responsibilities of the other members of the design team in this regard.• Define long-term responsibilities, including ownership of the model.• Define BIM inputs and outputs and scope of post occupancy evaluation (Soft Landings).Refer to Stage 3: BIM Basics.Enter notes here | [ ]  Completed on |  |

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| 23. | Establish or review project quality management procedures together with relevant procedures for all design team members.Consider preparing a project execution plan and agree its format with the client and design team.*Whilst normally associated with larger projects, this need not be a complex or lengthy document and is a useful reference to ensure all members of the project team understand the scope and programme of the project and their responsibilities and the communication procedures to be followed.*Refer to Stage 2: Project plan pro forma.Enter notes here | [ ]  Completed on |  |

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| 24. | Agree working methods and procedures with the design team members, including:• Means for integrating and coordinating work and inputs.• Compatibility in systems, software, etc.Enter notes here | [ ]  Completed on |  |

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| 25. | Establish a programme and pattern for design team meetings.Where applicable the principal designer should be included to provide advice and assistance to both client and design team. The architect is generally the most suitable person to perform the role of principal designer, particularly on small projects.Enter notes here | [ ]  Completed on |  |

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| 26. | Monitor office expenditure against fee income:• Set up office procedures for recording time spent on the project, by whom and the rates chargeable, and for noting expenses and disbursements incurred.• Set up procedures for regularly checking expenditure against the office job cost allocation.Enter notes here | [ ]  Completed on |  |

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| 27. | Arrange for regular reports to be provided to the client on fees and expenses incurred, and for accounts to be submitted at agreed intervals.Enter notes here | [ ]  Completed on |  |

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| 28. | Inspect information provided by the client, including the health and safety file, if applicable.It is important to identify at the earliest possible stage whether there are special conditions which will affect the viability of the project, e.g. contaminated land, asbestos in existing buildings.Enter notes here | [ ]  Completed on |  |

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| 29. | Review the client’s budget figures and identify the sums included for construction work.Review the client’s requirements, programme and budget to assess compatibility. If theyare not in balance, report this to the client and seek clarification on priorities.Refer to the RIBA Briefing Template and Tracker.Enter notes here | [ ]  Completed on |  |

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| 30. | Provide information for the construction cost estimate. The report on cost implicationsshould be structured under appropriate headings. It will normally be prepared by thecost consultant, if appointed. On jobs where there is no cost consultant, constructioncost estimates may need to be prepared by the architect – the appointment must makethis clear.Enter notes here | [ ]  Completed on |  |

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| 31. | Prepare Stage 1 report which should contain the information from Stage 0 plus:• Initial project brief (as an update to strategic brief).• Town planning appraisal.• Feasibility report, to include development appraisal information as required.• Preliminary cost information/appraisal.• Target project programme.• Environmental sustainability targets.• Note on procurement options and preferred option.Enter notes here | [ ]  Completed on |  |